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PTO

01-23-02 A

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

CP-1218

First Inventor

LIM, Mu-III

Title

Novel Couplers for Use in Oxidative Hair Dyeing

Express Mail Label No.

EM239961588US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages  ]  
(preferred arrangement set forth below)
 

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets   ]

5. Oath or Declaration [ Total Pages 2 ]

a.  Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)

i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
 

- a.  Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
  - i.  CD-ROM or CD-R (2 copies); or
  - ii.  paper
- c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  
(when there is an assignee)  Power of Attorney

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16.  Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation    Divisional    Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

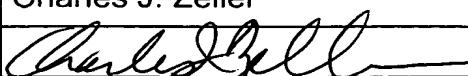
Examiner: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

|  |   |           |               |          |  |
|--|---|-----------|---------------|----------|--|
| <input type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer No. or Attach bar code label here) |           |               | or       | <input checked="" type="checkbox"/> Correspondence address below |
| Name   | ZELLER, Charles J.                                  |           |               |          |  |
| Address  | Clairol Incorporated, Patent Department             |           |               |          |  |
|  | 2 Blachley Road                                     |           |               |          |  |
| City   | Stamford  | State     | Connecticut   | Zip Code | 06922  |
| Country  | US  | Telephone | (203)316-2566 | Fax      | (203) 316-2220   |

|                   |   |                                   |                       |
|-------------------|---|-----------------------------------|-----------------------|
| Name (Print/Type) | Charles J. Zeller   | Registration No. (Attorney/Agent) | 28,682                |
| Signature         |  |                                   | Date January 18, 2002 |

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1104.00)

| Complete if Known    |                 |
|----------------------|-----------------|
| Application Number   | New Application |
| Filing Date          |                 |
| First Named Inventor | Mu-III LIM      |
| Examiner Name        |                 |
| Group Art Unit       |                 |
| Attorney Docket No.  | CP-1218         |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-3864**  
Deposit Account Name **Clairol Incorporated**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

| Fee Code            | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid      |
|---------------------|----------|----------|----------|------------------------|---------------|
| 101                 | 740      | 201      | 370      | Utility filing fee     | <b>740.00</b> |
| 106                 | 330      | 206      | 165      | Design filing fee      |               |
| 107                 | 510      | 207      | 255      | Plant filing fee       |               |
| 108                 | 740      | 208      | 370      | Reissue filing fee     |               |
| 114                 | 160      | 214      | 80       | Provisional filing fee |               |
| <b>SUBTOTAL (1)</b> |          |          |          | <b>(\$ 740.00)</b>     |               |

## 2. EXTRA CLAIM FEES

|                    |           | Extra Claims   | Fee from below | Fee Paid      |
|--------------------|-----------|----------------|----------------|---------------|
| Total Claims       | <b>24</b> | $-20^{**} = 4$ | <b>18.00</b>   | <b>72.00</b>  |
| Independent Claims | <b>6</b>  | $-3^{**} = 3$  | <b>84.00</b>   | <b>252.00</b> |
| Multiple Dependent |           |                |                |               |

Large Entity Small Entity

| Fee Code            | Fee (\$) | Fee Code | Fee (\$) | Fee Description  |
|---------------------|----------|----------|----------|--|
| 103                 | 18       | 203      | 9        | Claims in excess of 20                                     |
| 102                 | 84       | 202      | 42       | Independent claims in excess of 3                          |
| 104                 | 280      | 204      | 140      | Multiple dependent claim, if not paid                      |
| 109                 | 84       | 209      | 42       | ** Reissue independent claims over original patent         |
| 110                 | 18       | 210      | 9        | ** Reissue claims in excess of 20 and over original patent |
| <b>SUBTOTAL (2)</b> |          |          |          | <b>(\$ 324.00)</b>   |

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

| Large Entity Fee Code             | Small Entity Fee Code | Fee (\$) | Fee (\$) | Fee Description  | Fee Paid                       |
|-----------------------------------|-----------------------|----------|----------|--|--------------------------------|
| 105                               | 130                   | 205      | 65       | Surcharge - late filing fee or oath  |                                |
| 127                               | 50                    | 227      | 25       | Surcharge - late provisional filing fee or cover sheet                     |                                |
| 139                               | 130                   | 139      | 130      | Non-English specification  |                                |
| 147                               | 2,520                 | 147      | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |                                |
| 112                               | 920*                  | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |                                |
| 113                               | 1,840*                | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |                                |
| 115                               | 110                   | 215      | 55       | Extension for reply within first month                                     |                                |
| 116                               | 400                   | 216      | 200      | Extension for reply within second month                                    |                                |
| 117                               | 920                   | 217      | 460      | Extension for reply within third month                                     |                                |
| 118                               | 1,440                 | 218      | 720      | Extension for reply within fourth month                                    |                                |
| 128                               | 1,960                 | 228      | 980      | Extension for reply within fifth month                                     |                                |
| 119                               | 320                   | 219      | 160      | Notice of Appeal   |                                |
| 120                               | 320                   | 220      | 160      | Filing a brief in support of an appeal                                     |                                |
| 121                               | 280                   | 221      | 140      | Request for oral hearing   |                                |
| 138                               | 1,510                 | 138      | 1,510    | Petition to institute a public use proceeding                              |                                |
| 140                               | 110                   | 240      | 55       | Petition to revive - unavoidable   |                                |
| 141                               | 1,280                 | 241      | 640      | Petition to revive - unintentional   |                                |
| 142                               | 1,280                 | 242      | 640      | Utility issue fee (or reissue)   |                                |
| 143                               | 460                   | 243      | 230      | Design issue fee   |                                |
| 144                               | 620                   | 244      | 310      | Plant issue fee  |                                |
| 122                               | 130                   | 122      | 130      | Petitions to the Commissioner  |                                |
| 123                               | 50                    | 123      | 50       | Processing fee under 37 CFR 1.17(q)  |                                |
| 126                               | 180                   | 126      | 180      | Submission of Information Disclosure Stmt                                  |                                |
| 581                               | 40                    | 581      | 40       | Recording each patent assignment per property (times number of properties) | <b>40.00</b>                   |
| 146                               | 740                   | 246      | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |                                |
| 149                               | 740                   | 249      | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |                                |
| 179                               | 740                   | 279      | 370      | Request for Continued Examination (RCE)                                    |                                |
| 169                               | 900                   | 169      | 900      | Request for expedited examination of a design application                  |                                |
| Other fee (specify) _____         |                       |          |          |  |                                |
| *Reduced by Basic Filing Fee Paid |                       |          |          |  | <b>SUBTOTAL (3) (\$ 40.00)</b> |

## SUBMITTED BY

Complete (if applicable)

|                   |   |                                   |        |           |                  |
|-------------------|---|-----------------------------------|--------|-----------|------------------|
| Name (Print/Type) | Charles J. ZELLER   | Registration No. (Attorney/Agent) | 28,682 | Telephone | (203)316-2566    |
| Signature         |  |                                   |        | Date      | January 18, 2002 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Mu-Il LIM  
Yuh-Guo PAN  
Gottfried WENKE

Filed: January 18, 2002

Group Art Unit: N.A.  
Examiner: N.A.

Title: NOVEL COUPLERS FOR USE  
IN OXIDATIVE HAIR-DYEING

January 18, 2002

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No.: EM239961588US

Date of Deposit: January 18, 2002

I hereby certify that the following attached paper(s) and/or fee(s)

- 1) New Patent Application containing: 39 pages of specification; 9 pages of claims; and 1 page of Abstract;
- 2) Combined Declaration and Power of Attorney (executed)
- 3) Fee Transmittal (in duplicate)
- 4) Patent Application Cover Sheet
- 5) Assignment and Assignment Recordation Sheet
- 6) Express Mail Certificate
- 7) Return Receipt Postcard

are being deposited with the United States Postal Service Express Mail Post Office to Addressee service under 37 C.F.R. §1.10 on the date indicated above and is addressed to:  
Box: Patent Application; Commissioner for Patents, Washington, D. C. 20231.

Joanne T. Rauchfuss  
(Typed or printed name of person mailing paper or fee)

*Joanne T. Rauchfuss*  
(Signature of person mailing paper(s) or fee)

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